CHAPTER 7 RULES OF PROBATE PROCEDURE

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CHAPTER 7 RULES OF PROBATE PROCEDURE

Rule 7.1 Effective removal order — turnover. When the court orders the removal of a fiduciary under Iowa Code section 633.65, such order, unless expressly providing otherwise, shall be effective as a turnover order under Iowa Code section 633.70, and without further order the fiduciary so removed shall turn over all personal property, money or securities to or for the fiduciary's successor at the clerk's office within five days after such order is filed.

[Court Order November 16, 1965; November 14, 1979; Report November 9, 2001, effective February 15, 2002]

Rule 7.2 Fees in probate.

- **7.2(1)** Every report or application requesting an allowance of fees for personal representatives or their attorneys shall be written and verified as provided in Iowa Code section 633.35.
- **7.2(2)** When fees for ordinary services are sought pursuant to Iowa Code sections 633.197 and 633.198, proof of the nature and extent of responsibilities assumed and services rendered shall be required. Unless special circumstances should be called to the court's attention, the contents of the court probate file may be relied upon as such proof. In determining the value of gross assets of the estate for purposes of Iowa Code section 633.197, the court shall not include the value of joint tenancy property excluded from the taxable estate pursuant to Iowa Code section 450.3(5) or the value of life insurance payable to a designated beneficiary.
- **7.2(3)** When an allowance for extraordinary expenses or services is sought pursuant to Iowa Code section 633.199, the request shall include a written statement showing the necessity for such expenses or services, the responsibilities assumed, and the amount of extra time or expense involved. In appropriate cases, the statement shall also explain the importance of the matter to the estate and describe the results obtained. The request may be made in the final report or by separate application. It shall be set for hearing upon reasonable notice, specifying the amounts claimed, unless waivers of notice identifying the amounts claimed are filed by all interested persons. The applicant shall have the burden of proving such allowance should be made.
- **7.2(4)** One half of the fees for ordinary services may be paid when the federal estate tax return, if required, and Iowa inheritance tax return, if required, are prepared. When a federal estate tax return is not required, the one-half fee may be paid when the Iowa inheritance tax return is prepared or, when it is not required, when the probate inventory required by the Iowa Probate Code is filed. The remainder of the fees may be paid when the final report is filed and the costs have been paid. The schedule for paying fees may be different when so provided by order of the court for good cause.
- **7.2(5)** Every report or application requesting compensation for other fiduciaries and their attorneys pursuant to Iowa Code section 633.200 shall be written and verified.
- **7.2(6)** When compensation has been allowed to a person employed by the fiduciary or attorney to assist the estate pursuant to Iowa Code section 633.84, the request for fees by the fiduciary shall disclose the identity of such person and the amount allowed, for consideration by the court in determining fees for the fiduciary pursuant to Iowa Code section 633.86.

[Court Order November 14, 1979; Report September 5, 1985, effective November 15, 1985; November 9, 2001, effective February 15, 2002; November 23, 2004, effective February 1, 2005]

- **Rule 7.3 District court rules in probate.** A district court rule of probate and administration shall not be valid until it has been filed with the clerk of the supreme court and approved by that court. [Court Order November 14, 1979; Report November 9, 2001, effective February 15, 2002]
- **Rule 7.4 Report of referee.** A report of a referee in probate shall substantially comply with the form that accompanies these rules.

[Report November 9, 2001, effective February 15, 2002]

Rule 7.5 Referees in probate.

7.5(1) *Duties.*

a. Referees as masters. Unless otherwise directed by the court, a referee in probate appointed by the district court pursuant to Iowa Code section 633.20, and determined by the court to be qualified to serve as a master, shall have the powers to perform all the duties required of masters appointed by

the court in civil actions (Iowa Rs. Civ. P. 1.935 - 1.942) and shall examine all reports, applications and petitions in probate and in trusts requiring action by the court.

- b. Other referees. A referee in probate not determined by the court to be qualified to serve as a master shall have authority to examine probate files to make the report provided by rule 7.4.
- c. Referee reports. The report of the referee shall be in writing on a form which substantially complies with the form that accompanies these rules and shall contain such matters as the court may request as shown by the files and reports in the clerk's office. If the referee is authorized to act as a master, the report shall also contain recommendations of the referee as to what ought to be done relative to the reports when considered by the court. No final report will be approved until the report of the referee is presented to the court, it being contemplated that such presentation shall be made expeditiously and without delay.
- d. Other duties. In addition to the powers and duties of the referee in probate prescribed by this rule, the referee shall perform such duties as the court may require.

7.5(2) Fees.

- a. The referee shall be paid a fee for services as permitted under a schedule established under Iowa Code section 633.21, unless a referee and any assistant are appointed for the county for all matters in probate in the county and are paid an annual compensation.
- b. Referee fees shall be taxed and collected by the clerk as other costs, and such fees shall be in addition to all other fees charged and collected by the clerk in probate matters as required by Iowa Code section 633.31.
- c. In such cases where a referee and any assistant are paid an annual compensation, any excess of fees remaining after payment of such other expenses as are approved by the court shall be disbursed pursuant to the Code.

[Court Order December 18, 1980, effective January 1, 1981; Report November 9, 2001, effective February 15, 2002]

Rule 7.6 Reports of delinquent inventories or reports.

- **7.6(1)** The clerk's report to the presiding judge required by Iowa Code section 633.32, of all delinquent inventories or reports in estates, trusts, guardianships or conservatorships shall contain, in addition to the information required by Iowa Code section 633.32(3), a copy of each delinquency notice and, if they do not appear on the face of the delinquency notice, the following information for each delinquent inventory or report:
 - *a.* The probate number of the matter.
 - b. The title of the matter.
 - c. An indication of whether the matter is an estate, trust, guardianship, or conservatorship.
 - d. The name and address of the fiduciary.
 - e. The name and address of the attorney, if any, for the fiduciary.
 - f. The type of delinquent inventory or report.
 - g. The date notice of delinquency was given.
- h. A statement that the required report or inventory or an order extending time for a specified period was not filed within 60 days after the giving of notice of delinquency.
 - i. The date the matter was opened.
 - j. The name of the last paper filed by the fiduciary or attorney and the date of filing such paper.
- *k*. The number, including "zero" if appropriate, of previous delinquency notices given in the matter and ignored.
- **7.6(2)** The clerk shall submit a copy of the report to the chief judge of the judicial district and the state court administrator in addition to the presiding judge as required by Iowa Code section 633.32(2). If an order extending time for a specified period was filed but not complied with, the clerk shall proceed as in instances in which an order is not filed.
- **7.6(3)** The state court administrator shall utilize the reports in the discharge of the duties prescribed in Iowa Code section 602.1209 and, in addition, shall prepare a list of the attorneys for fiduciaries who have received and ignored a notice of delinquency. The state court administrator shall transmit the list of attorneys, together with other relevant information, to the Iowa Supreme Court Attorney Disciplinary Board and to the Client Security Commission.
- **7.6(4)** The Iowa Supreme Court Attorney Disciplinary Board, as a commission of the supreme court pursuant to Iowa Ct. R. 35.2, shall communicate with each attorney licensed to practice law in Iowa whose name appears on the list transmitted to the board pursuant to rule 7.6(3). If the board determines there is reasonable cause to believe an attorney for a fiduciary has violated Iowa Rule of

Professional Conduct 32:1.3 or 32:3.2 for failure to file a required inventory or report within 60 days after receiving notice of delinquency, or within an extension of time for a specified period granted by order, the board shall initiate appropriate disciplinary action. The board chairperson shall include the number of attorneys investigated and complaints initiated and processed pursuant to this rule, a synopsis of each such complaint, and the disposition thereof, in the annual board report to the supreme court required by Iowa Ct. R. 35.23.

7.6(5) The assistant court administrator of the disciplinary system is authorized to inquire into the status of any delinquent probate inventory or report.

[Court Order March 13, 1980; October 20, 1981; 1983 Iowa Acts, chapter 186, §10151; January 17, 1995, effective April 3, 1995; Report November 9, 2001, effective February 15, 2002; August 29, 2002, effective December 1, 2002; April 20, 2005, and July 1, 2005, effective July 1, 2005]

Rule 7.7 Interlocutory report. If the final report of the personal representative required by Iowa Code section 633.477 is not filed within 18 months after the date of the second publication of the notice to creditors, the personal representative shall at that time file an interlocutory report in accordance with Iowa Code section 633.469. The report shall identify the work remaining to be done in the estate and shall include an estimate of the period within which the work will be completed. The personal representative shall provide copies of the report to all interested parties by mailing, and proof of mailing shall be filed with the clerk. An order of the court approving the report shall not be required unless hearing on the report is held upon request of the personal representative or an interested party. The provisions of Iowa Code section 633.32 and rule 7.6 shall apply to the report required by this rule

[Report August 22, 1985, effective November 1, 1985; November 9, 2001, effective February 15, 2002]

Rules 7.8 to 7.10 Reserved.

Rule 7.11 Forms.

Rule 7.11 — Form 1: Report of Referee.

IN THE IOWA DISTRICT COURT FO	RCOUNTY		
IN THE MATTER OF THE ESTATE OF	REPORT OF REFEREE		
,	Prob	ate No	
Deceased.			
COMES NOW the duly appointed Referee and reports	to the Court a	s follows:	
			examined said Report and
reports to the Court as follows: (All questions must be ans	swered. If "y	es" or "no" is not ap	propriate, check "N/A".)
1. Notice of Appointment published:	YES	NO	N/A
Affidavit of mailing notice required by:			
(A) Iowa Code sections 633.230 and 633.304; (B) Iowa Code sections 633.231 and	YES	NO	N/A
633.304A: (medical assistance claims)	YES	NO	N/A
Fiduciaries fees ordered or waived and affidavit of compensation filed:	YES	NO	N/A
Attorney fees ordered and affidavit of compensation			
filed:	YES	NO	N/A
(A) Itemization was requested and provided:	YES	NO	N/A
(B) If not, statement required by Iowa Code	VEC	NO	NI/A
section 633.477(11) was made:	YES	NO	N/A
5. Income tax acquittance filed:	YES	NO	N/A
 Inheritance tax clearance filed or certification required by Iowa Code section 450.58 made: 	YES	NO	N/A
7. A list of distributees is shown:	YES	NO	N/A
8. A description of real estate is shown:	YES	NO	N/A
9. Certificates of change of title to real estate, asrequired:	YES	NO	N/A
10. All claims filed have been paid, disallowed, or			
released:	YES	NO	N/A
11. Notice of hearings on this Report waived:(A) If not waived, proper proof of service of	YES	NO	N/A
notice is on file:	YES	NO	N/A
12. Accounting is waived:	YES	NO	N/A
13. Court costs have been paid:	YES	NO	N/A
14. Election filed by or for surviving spouse under section 633.236:	YES	NO	N/A
15. Receipts for all specific bequests:	YES	NO NO	N/A
16. Federal estate tax closing letter and proof of payment			
is on file (not required for closing):	YES	NO	N/A
17. Remarks:			
Dated this day of		20	
day 01		, 20	
		Referee in Probat	te

[Court Order November 14, 1979; December 3, 1981; November 14, 1984, effective November 26, 1984; Report September 5, 1985, effective November 15, 1985; February 18, 1987, effective July 1, 1987; September 23, 1994, effective January 3, 1995; November 9, 2001, effective February 15, 2002; July 23, 2003, effective October 1, 2003; November 30, 2005, effective March 1, 2006; April 11, 2008, effective July 1, 2008]

Rule 7.11 — Form 2: Initial/Annual/Final Report of Guardian and Order.

IN THE IOWA DISTRICT COU	URT FOR COUNTY
IN THE MATTER OF THE GUARDIANSHIP OF	Probate No(check one) INITIAL REPORTANNUAL REPORTFINAL REPORT
	AND ORDER
The undersigned duly appointed and qualified guar	rdian in the above-entitled matter, states to the court:
This report covers the period from to	
2. The current mental and physical condition of	the ward is:
3. The present living arrangement of the ward, income the reporting period is (indicate with whom w	cluding a description of residence where the ward has resided during ward resided at each residence):
4. The following is a summary of the medical, ed the ward:	ducational, vocational, and other professional services provided for
	a's visits with and activities on behalf of the ward:
6. (On initial report only.) The ward's date of b	irth is:
7. The ward is: Single Married	Divorced
8. If the ward is a minor, names and addresses o	of parents:
9. It is recommended the guardianship be: conti If termination is recommended, give reason:	inued; terminated (A hearing may be required on the matter of termination.)
10. Other information requested by the court or u	seful in the opinion of the guardian:
11. Final court costs (have) (have not) been paid.	
	Guardian
	Survival
	Address
	Telephone Number
certify under penalty of perjury and pursuant to the	he laws of the State of Iowa that the preceding is true and correct.
Date	Guardian
	Address
(NOTE: Bank statements, checks, receipts, stubs, available to the court on demand.)	and other items evidencing receipt of funds and payment must be
(terminated, guardian discharged, bond released) (s	ORDER pproved and the guardianship of said ward shall be (continued) set for hearing on matter of termination)
Dated:	
Dated:	, 20
	Judge of the Judicial District Referee in Probate
	Referee in Probate

[Court Order November 15, 1984, effective December 10, 1984; December 4, 1984, effective December 10, 1984; March 10, 1987, effective July 1, 1987; Report November 9, 2001, effective February 15, 2002]

Rule 7.11 — Form 3: Initial Report of Conservator and Inventory.

	IN THE IOWA DIST	RICT COURT FO	₹	CO	UNTY
	MATTER OF THE ERVATORSHIP OF		Probate No		
			CON	TAL REPORT ISERVATOR A INVENTORY	
The und	ersigned duly appointed and qu	alified conservator	states as follows:		
	The ward's real and personal pritem is itemized on the schedul inservatorship Assets ttach Descriptions)	operty as of the dat es attached hereto,	te your conservator wa and a summary of suc	s appointed and ch schedules is a	l the valuation of each as follows: <u>Total Value</u>
,	Real Estate				\$
	Stocks and Bonds				\$
	Mortgages, Notes, Deposits an	d Coch			\$
	Life Insurance	u Casii			φ
					Φ
	Jointly Owned Property				φ
F.	Miscellaneous Property	OHEDIA DO			\$
	TOTAL OF ALL SO	CHEDULES			\$
2.	The ward resides at: Street City and (check one): A. Does not have a guard A. Does not have a guard	lian.	State	Zip	
	B. Has a natural guardian and whose address is:	1 whose name is: _			
	_	Street	City	State	Zip
	C. Has a court-appointed and whose address is:	guardian whose na	me is:		-
3.	Your conservator (has) (has not account at: Name of	established a (non	interest bearing) (inter	State est bearing) con	Zip servatorship checking
	located at	Financial Instituti	on		
	Street	City	State	7	Zip
	The account number is:				
4.	The account number is: A conservatorship savings acco	unt (has) (has not) l	been established at the		
	located at	Name of	Financial Institution		
	Street	City	State	7	Zip
	The account number is:				<u>.</u>
5. 6.	Other assets (have) (have not) The ward's sources of income			ie.	
		Cons	servator		
		Add	ress		
		Tele	phone Number		

Initial Report of Conservator and Inventory (cont'd)	
I certify under penalty of perjury and pursuant to the	laws of the State of Iowa that the preceding is true and correct.
Date	Conservator
	Address

(NOTE: Bank statements, checks, receipts, stubs and other items evidencing receipt of funds and payment must be available to the court on demand.)

[Court Order November 15, 1984, effective December 10, 1984; December 4, 1984, effective December 10, 1984; Report November 9, 2001, effective February 15, 2002]

Rule 7.11 — Form 4: Annual Report of Conservator.

IN THE IOWA DISTRICT COURT FOR	COUNTY
IN THE MATTER OF THE CONSERVATORSHIP OF	Probate No
	ANNUAL REPORT
This report is for the period from	, 20, to, 20 (Use
2. Total cash on hand at close of the last accounting was	
Total sum of funds received during this report period w tion showing date received, source of funds and amount	ras \$ (Attach as Exhibit "A" itemizant.)
 Total sum of disbursements made during this report peri ization showing date, who was paid and amount paid for 	od was \$ (Attach as Exhibit "B" itemfor item or service.)
5. The balance of cash on hand at the close of this report	period is \$
	re: (Attach listing of assets held and the value or remaining same as of the last report, a copy of the last listing may be
Changes (were) (were not) made in investment during changes when applicable.)	this report period. (Attach as Exhibit "D" itemized list of
8. The total value of assets of the ward at the close of thi	s report period is \$
9. Amount of conservator's bond is: \$	Surety is:
10. (Check one)	
The ward has no guardian.	
The name of the ward's guardian is:	
11. (Answer Number 11 only if ward has no guardian.)	
A. The residence and physical location of the ward is	s:
B. The ward's general physical and mental condition	ris:
12. Other information relating to affairs of the conservator which do not adapt to this form, add Exhibit "F" setting	
13. Fees for conservator are (hereby applied for) (waived)) .
(Attach Affidavit per Iowa Code section 633.202.)	
14. Fees for conservator's attorney (check one): no fees requested;	should be set by the court; waived or not applicable.
(Attach Affidavit per Iowa Code section 633.202, if fe	ees requested.)
I certify under penalty of perjury and pursuant to the laws of	of the State of Iowa that the preceding is true and correct.
Date Cons	servator
Addı	ess

(NOTE: Bank statements, checks, receipts, stubs and other items evidencing receipt of funds and payment must be available to the court on demand.)

[Court Order November 15, 1984, effective December 10, 1984; December 4, 1984, effective December 10, 1984; Report November 9, 2001, effective February 15, 2002]

Rule 7.11 — Form 5: Final Report of Conservator.

IN THE IOWA DISTRICT COURT FOI	RCOUNTY	
IN THE MATTER OF THE CONSERVATORSHIP OF	Probate No	
	FINAL REPORT	
This report is for the period from ending date of last accounting where applicable.)	, 20, to	
2. Total cash on hand at close of the last accounting was		
	ras \$ (Attach as Exhibit "A" itemiza-	
4. Total sum of disbursements made during this report period was \$ (Attach as Exhization showing date, who was paid and amount paid for item or service.)		
5. The balance of cash on hand at the close of this report	period is \$	
	re: (Attach listing of assets held and the value or remaining same as of the last report, a copy of the last listing may be	
Changes (were) (were not) made in investment during changes when applicable.)	this report period. (Attach as Exhibit "D" itemized list of	
8. The total value of assets of the ward at the close of thi	s report period is \$	
9. (Check one) (Attach as Exhibit "E" statement of reasons	ons for termination.)	
The court on the day of _	, 20 ordered termination.	
The termination is concurrently being sought alo	ong with approval of final report.	
10. On termination funds and assets of this conservatorsip if any):	will be distributed to (name, address, relationship to ward,	
11. Notice of hearing on final report (has) (has not) been to		
12. Amount of conservator's bond is: \$	_ Surety is: Order approving final rease bond.	
13. (Check one)		
	final guardian's report on, 20	
The ward has no guardian.		
The name of the ward's guardian is:	·	
14. (Answer Number 14 only if ward has no guardian.)		
A. The residence and physical location of the ward is	s:	
B. The ward's general physical and mental condition	nis:	
15. Other information relating to affairs of the conservator do not adapt to this form, add Exhibit "F" setting out s	rship: (If conservatorship has special circumstances which special circumstances in detail.)	
16. Final court costs (have) (have not) been paid.		
17. Fees for conservator are (hereby applied for) (waived)).	
(Attach Affidavit per Iowa Code section 633.202.)		

Final Report of Conservator (cont'd)	
18. Fees for conservator's attorney (check one): no fees requested; waived	should be set by the court;l or not applicable.
(Attach Affidavit per Iowa Code section 633.2	202, if fees requested.)
 Receipt(s) of the distributee(s) for the funds an Are attached. 	nd assets of the conservatorship (check one):
Will be attached to supplemental report a	after court approves final report.
	ne laws of the State of Iowa that the preceding is true and correct.
Date	Conservator
	Address
available to the court on demand.)	and other items evidencing receipt of funds and payment must b cember 10, 1984; December 4, 1984, effective December 10 ruary 15, 2002]